



SARA Institution Provisional Participation Form (AF3)

A State shall have a process for considering an application for provisional status. (SARA Manual, Section 2.5) The state, at its discretion, may approve an institution applying for initial or renewal participation in SARA to participate on Provisional Status. The institution will be listed on the NC-SARA.org website with the following notation: **Because of certain concerns, this Institution has been approved by its State for Provisional participation in SARA. Please contact the State's SARA Portal Entity for additional information.* (SARA Manual, Section 3, Subsections 3.2, 3.3 and 3.4)

NC-SARA has the responsibility to track all exceptions to SARA policy. This form provides a document trail and the approval process is confirmed at all levels to ensure accuracy of actions taken by NC SARA staff. After all signatures have been obtained, please submit the form to info@nc-sara.org.

TO BE COMPLETED BY SARA STATE PORTAL ENTITY STAFF

Institution name: _____
Institution address: _____
Institution State: _____
Primary Institution contact name: _____
Primary Institution contact email: _____
If Branch Campus, name of Main Campus: _____
If Branch Campus, address of Main Campus: _____

REASON FOR PROVISIONAL PARTICIPATION

(Portal State Entity Check All That Apply):

- _____ The Institution is on provisional or probationary status or the equivalent with its institutional Accrediting Agency;
- _____ The Institution is currently required by the U.S. Department of Education to post a letter of credit or is under a cash management agreement with the U.S. Department of Education. (Such institutions must still have a Federal Financial Responsibility Composite Score above 1.0);
- _____ The Institution's Federal Financial Responsibility Composite Score falls between 1.0 and 1.5. (For renewing institutions or institutions between renewal periods. An Institution with a score below 1.0 is not eligible for SARA participation.)
- _____ The Institution is the subject of a publicly announced investigation by a Government agency, and the investigation is related to the Institution's academic quality, financial stability or student consumer protection; or
- _____ The Institution is the subject of a current investigation by its home State related to the Institution's academic quality, financial stability or student consumer protection.
- _____ A third-party action such as a private lawsuit or news story does not by itself establish a government investigation. If such a third-party event results in an investigation by a



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government agency as set forth in subsections 3 and 4 above, these subsections become applicable. Lawsuits by government entities are considered to have resulted from a governmental investigation and can be the basis of a determination of Provisional Status.

- _____ Lack of compliance with SARA policies related to data reporting.
- _____ The Institution has a change of ownership as determined by the Home State.
- _____ The participating institution is in violation of, or noncompliance with SARA policies.

Will the State prohibit further enrollments under SARA for the year? _____ Yes _____ No

Provisional Effective Date: _____

Other Comments:

State Portal Entity signature: _____ Date: _____

State Portal Entity printed name: _____

TO BE COMPLETED BY REGIONAL COMPACT SARA DIRECTOR

Comments:

Regional Compact SARA Director signature: _____ Date: _____

Regional Compact Director printed name: _____

TO BE COMPLETED BY NC-SARA STAFF

_____ Date: _____
NC-SARA President or Executive Director for Student and Institutional Support

INSTITUTION REMOVED FROM PROVISIONAL STATUS

Provisional Extension Status Removed Effective Date: _____

Other Comments:



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State Portal Entity signature: _____ Date: _____

State Portal Entity printed name: _____

TO BE COMPLETED BY REGIONAL COMPACT SARA DIRECTOR

Comments:

Regional Compact SARA Director signature: _____ Date: _____

Regional Compact Director printed name: _____

TO BE COMPLETED BY NC-SARA STAFF

NC-SARA President or Executive Director for Student and Institutional Support Date: _____